

DOCKET NO.: MSFT-0263(MS#148579.1)

PATENT

#2

IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

In Re Application of:

England, P. et al.

Serial No.: 09/892,283

Filing Date: June 27, 2001

Group Art Unit: 2131

Examiner: Not Yet Assigned

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WASHINGTON, DC 20231.

TYPED NAME: Steven H. Meyer  
REGISTRATION NO.: 37,189

Assistant Commissioner for Patents  
Washington, D.C. 20231

Dear Sir:

INFORMATION DISCLOSURE STATEMENT

Pursuant to 37 C.F.R. §1.56 and in accordance with 37 C.F.R. §§1.97-1.98, information relating to the above-identified application is hereby disclosed. Inclusion of information in this statement is not to be construed as an admission that this information is material as that term is defined in 37 C.F.R. §1.56(b).



In accordance with §1.97(b), since this Information Disclosure Statement is being filed either within three months of the filing date of the above-identified application, within three months of the date of entry into the national stage of the above identified application as set forth in §1.491, before the mailing date of a first Office Action on the merits of the above-identified application, or before the mailing date of a first office action after the filing of request for continued examination under §1.114, no additional fee is required.



- ☐ In accordance with §1.129(a), this Information Disclosure Statement is being filed in connection with ☐the first or ☐second After Final Submission, therefore:
- ☐ Certification in Accordance with §1.97(e) is attached; or
- ☐ The fee of \$180.00 as set forth in §1.17(p) is attached.
- ☐ In accordance with §1.97(c), this Information Disclosure Statement is being filed after the period set forth in §1.97(b) above but before the mailing date of either a Final Action under §1.113 or a Notice of Allowance under §1.311, or before an action that otherwise closes prosecution in the application, therefore:
- ☐ Certification in Accordance with §1.97(e) is attached; or
- ☐ The fee of \$180.00 as set forth in §1.17(p) is attached.
- ☐ In accordance with §1.97(d), this Information Disclosure Statement is being filed after the mailing date of either a Final Action under §1.113 or a Notice of Allowance under §1.311 but before, or simultaneously with, the payment of the Issue Fee, therefore included are: Certification in Accordance with §1.97(e); and the submission fee of \$180.00 as set forth in §1.17(p).
- ☐ Copies of each of the references listed on the attached Form PTO-1449 are enclosed herewith.
- ☒ Copies of references listed on the attached Form PTO-1449 are enclosed herewith
- EXCEPT THAT:
- ☐ In view of the voluminous nature of references [list as appropriate], and the likelihood that these references are available to the Examiner, copies are not enclosed herewith.

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PATENT



☒ In accordance with §1.98(d), copies of the following references listed on the attached Form PTO-1449 are not enclosed herewith because they were previously cited by or submitted to the U.S. Patent and Trademark Office in patent application(s) for which a claim for priority under 35 U.S.C. §120 have been made in the instant application:

☒ Copies of references **AA thru BJ and BM thru DK** listed on the attached Form PTO-1449 were previously cited by or submitted to the Patent and Trademark Office in prior application Serial No. **09/892,367**, filed **June 27, 2001**.

☒ Copies of references **AA thru BJ and BM thru DK** listed on the attached Form PTO-1449 were previously cited by or submitted to the Patent and Trademark Office in prior application Serial No. **09/290,363**, filed **April 12, 1999**.

☐ If any of the foregoing publications are not available to the Examiner, Applicant will endeavor to supply copies at the Examiner's request.

Please charge any deficiency or credit any overpayment to Deposit Account No. 23-3050.

This form is submitted in duplicate.

There are no listed references which are not in the English language.

Date:

*TAN 22 2002*

*Steven H. Meyer*

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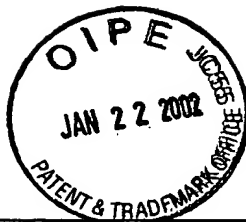
Sheet 1 of 7

<b>Form PTO-1449 Modified</b>  List of Patent and Publications Cited by Applicant (Use several sheets if necessary)  U.S. Department of Commerce Patent and Trademark Office		Docket No. <b>MSFT-0263</b> (MS#148579.1)	Serial No. 09/892,283 <b>RECEIVED</b>
		Applicant <b>England, P. et al.</b> <b>FEB 05 2002</b> <b>Technology Center 2100</b>	
		Filing Date <b>June 27, 2001</b>	Group <b>2131</b>
<b>OTHER DOCUMENTS (Including Author, Title, Date, Pertinent Pages, Etc.)</b>			
	<b>AA</b>	"Aladdin Knowledge Systems Partners with Rights Exchange, Inc. to Develop a Comprehensive Solution for Electronic Software Distribution," August 3, 1988, 5 pages	
	<b>AB</b>	Amdur, D., "Metering Online Copyright," January 16, 1996, 2 pages	
	<b>AC</b>	Amdur, D. (ed.), "InterTrust Challenges IBM Digital Content Metering," <i>Report On Electronic Commerce</i> , July 23, 1996, 3(15), 1-2 and 16-18	
	<b>AD</b>	Armati, D., "Tools and standards for protection, control and presentation of data," April 3, 1996, 17 pages	
	<b>AE</b>	Benjamin, R. et al., "Electronic markets and virtual value chains on the information superhighway," <i>Sloan Management Rev.</i> , Winter, 1995, 62-72	
	<b>AF</b>	Cassidy, "A Web developers guide to content encapsulation technology," April, 1997, 5 pages	
	<b>AG</b>	Clark, T., "Software Secures Digital Content on Web," <i>Interactive Week</i> , September 25, 1995, 1 page	
	<b>AH</b>	Cox, B., "Superdistribution," <i>Idees Fortes</i> , September, 1994, 2 pages	
	<b>AI</b>	Cox, B., "What if There Is A Silver Bullet," <i>J. Object Oriented Programm.</i> , June, 1992, 8-9 and 76	
	<b>AJ</b>	Griswold, G.N., "A Method for Protecting Copyright on Networks," <i>IMA Intell. Property Project Proceedings</i> , January, 1994, 1(1), 169-178	
	<b>AK</b>	Hauser, R.C., "Does licensing require new access control techniques?" August, 1993, 9 pages	
	<b>AL</b>	Hudgins-Bonafield, C. "Selling Knowledge on the Net," <i>Network Computing</i> , June 1, 1995, 102-109	
	<b>AM</b>	"IBM spearheading intellectual property protection technology for information on the Internet," May, 1996, 3 pages	
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			Group <b>2131</b>
<b>OTHER DOCUMENTS (Including Author, Title, Date, Pertinent Pages, Etc.)</b>			
	<b>AN</b>	"Technological Solutions Rise to Complement Law's Small Stick Guarding Electronic Works," <i>Information Law Alert</i> , June 16, 1995, 3-4 and 7	
	<b>AO</b>	Kaplan, M.A., "IBM Cryptolopes_, Super-Distribution and Digital Rights Management," December, 1996, 7 pages	
	<b>AP</b>	Kent, S.T., "Protecting externally supplied software in small computers," September, 1980, 1-42 and 250-252	
	<b>AQ</b>	Kohl, U. et al., "Safeguarding Digital Library Contents and Users; Protecting Documents Rather Than Channels," <i>D-Lib Magazine</i> , September, 1997, 9 pages	
	<b>AR</b>	Linn, R.J., "Copyright and Information Services in the Context of the National Research and Education Network," <i>IMA Intell. Property Project Proceedings</i> , January, 1994, 1(1), 1 and 10-20	
	<b>AS</b>	McNab, L., "Super-distribution works better in practical applications," March 2, 1998, 2 pages	
	<b>AT</b>	Moeller, M., "NetTrust lets Cyberspace Merchants Take Account," <i>PC Week</i> , November 20, 1995, 12(48), 1 page	
	<b>AU</b>	Moeller, M., "IBM takes charge of E-commerce; Plans client, server apps based on SET," April, 1996, 4 pages	
	<b>AV</b>	Pemberton, J., "An ONLINE Interview with Jeff Crigler at IBM InfoMarket," July, 1996, 6 pages	
	<b>AW</b>	"LicensIt: kinder, gentler copyright? Copyright management system links content, authorship information," <i>Seybold Report on Desktop Publishing</i> , 1996, 10(11), 2 pages	
	<b>AX</b>	Sibert, O. et al., "The DigiBox: A Self-protecting Container for Information Commerce," <i>First USENIX Workshop on Electronic Commerce</i> , July 11-12, 1995, 171-183	
	<b>AY</b>	Sibert, O. et al., "Securing the Content, Not the Wire, for Information Commerce," July, 1995, 1-11	
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<b>OTHER DOCUMENTS (Including Author, Title, Date, Pertinent Pages, Etc.)</b>			
	<b>AZ</b>	Smith, M.G. et al., "A New Set of Rules For Information Commerce," <i>Electronic Commerce</i> , November 6, <b>1995</b> , 34-35	
	<b>BA</b>	Stefik, M., "Trusted Systems," March, <b>1997</b> , 8 pages	
	<b>BB</b>	Stefik, M., "Shifting the Possible: How Trusted Systems and Digital Property Rights Challenge Us to Rethink Digital Publishing," <i>Technical Perspective</i> , <b>1997</b> , 137-159	
	<b>BC</b>	Tarter, J. (ed.), "The Superdistribution Model," <i>Soft Trends</i> , November 15, <b>1996</b> , 3(6), 1-6	
	<b>BD</b>	"Rights Management in the Digital Age: Trading in Bits, Not Atoms," Spring, <b>1997</b> , 4, 3 pages	
	<b>BE</b>	Weber, R., "Digital Right Management Technology," October, <b>1995</b> , 35 pages	
	<b>BF</b>	White, S.R. et al., "ABYSS: An Architecture for Software Protection," <i>IEEE Trans. On Software Engineering</i> , June, <b>1990</b> , 16(6), 619-629	
	<b>BG</b>	White, S.R. et al., "ABYSS: A trusted architecture for software protection," <i>IEEE Symposium on Security and Privacy</i> , April 27-29, <b>1987</b> , 38-51	
	<b>BH</b>	"Boxing Up Bytes," 2 pages	
	<b>BI</b>	Ramanujapuram, A. et al., "Digital Content & Intellectual Property Rights: A specification language and tools for rights management," December, <b>1998</b> , 20-23 and 26	
	<b>BJ</b>	Misra, R.B., et al., "Tamper detection using neuro-fuzzy logic," Ninth International Conference on Metering and Tariffs for Energy Supply," Conference Publication 462, May 25-28, <b>1999</b> , 101-108	
	<b>BK</b>	Langdon, Jr., G.G. et al. "Experiments with lossless and virtually lossless image compression algorithms", <i>SPIE</i> , <b>1995</b> , 2418, pg 21-27	
	<b>BL</b>	Lin, C.Y. et al., "A robust image authentication method surviving JPEG lossy compression", <i>SPIE</i> , <b>1997</b> , 3312, 296-307	
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**U. S. PATENT DOCUMENTS**

Examiner Initial		Document No.	Date	Name	Class	Subclass
	<b>BM</b>	3,718,906	02/27/73	Lightner	340	147 R
	<b>BN</b>	4,323,921	04/06/82	Guillou	358	114
	<b>BO</b>	4,528,643	07/09/85	Freeny, Jr.	364	900
	<b>BP</b>	4,658,093	04/14/87	Hellman	380	25
	<b>BQ</b>	4,683,553	07/28/87	Mollier	380	4
	<b>BR</b>	4,827,508	05/02/89	Shear	380	4
	<b>BS</b>	4,916,738	04/10/90	Chandra et al.	380	25
	<b>BT</b>	4,953,209	08/28/90	Ryder, Sr. et al.	380	23
	<b>BU</b>	4,977,594	12/11/90	Shear	380	4
	<b>BV</b>	5,050,213	09/17/91	Shear	380	25

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Examiner Initial		Document No.	Date	Country	Translation YES NO	
	<b>BW</b>	EP 0 715 246 A1	06/05/96	EPO	X	
	<b>BX</b>	EP 0 715 247 A1	06/05/96	EPO	X	
	<b>BY</b>	WO 93/01550	01/21/93	PCT	X	
	<b>BZ</b>	WO 96/13013	05/02/96	PCT	X	

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<b>U. S. PATENT DOCUMENTS</b>							
<b>Examiner Initial</b>		<b>Document No.</b>	<b>Date</b>	<b>Name</b>	<b>Class</b>	<b>Subclass</b>	
	<b>CA</b>	5,103,392	04/07/92	Mori	395	725	
	<b>CB</b>	5,103,476	04/07/92	Waite et al.	380	4	
	<b>CC</b>	5,109,413	04/28/92	Comerford et al.	380	4	
	<b>CD</b>	5,117,457	05/26/92	Comerford et al.	380	3	
	<b>CE</b>	5,193,573	03/16/93	Chronister	137	315	
	<b>CF</b>	5,222,134	06/22/93	Waite et al.	380	4	
	<b>CG</b>	5,319,705	06/07/94	Halter et al.	380	4	
	<b>CH</b>	5,410,598	04/25/95	Shear	380	4	
	<b>CI</b>	5,509,070	04/16/96	Schull	380	4	
	<b>CJ</b>	5,629,980	05/13/97	Stefik et al.	380	4	
<b>FOREIGN PATENT DOCUMENTS</b>							
<b>Examiner Initial</b>		<b>Document No.</b>	<b>Date</b>	<b>Country</b>	<b>Translation</b> <b>YES NO</b>		
	<b>CK</b>	WO 96/24092	08/08/96	PCT	X		
	<b>CL</b>	WO 96/27155	09/06/96	PCT	X		
	<b>CM</b>	WO 97/25798	07/17/97	PCT	X		
	<b>CN</b>	WO 97/43761	11/20/97	PCT	X		
	<b>CO</b>	WO 98/09209	03/05/98	PCT	X		
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	<b>CP</b>	5,634,012	05/27/97	Stefik et al.	395	239	
	<b>CQ</b>	5,638,443	06/10/97	Stefik et al.	380	4	
	<b>CR</b>	5,673,316	09/30/97	Auerbach et al.	380	4	
	<b>CS</b>	5,710,887	01/20/98	Chelliah et al.	395	226	
	<b>CT</b>	5,715,403	02/03/98	Stefik	395	244	
	<b>CU</b>	5,765,152	06/09/98	Erickson	707	9	
	<b>CV</b>	5,809,144	09/15/98	Sirbu et al.	380	25	
	<b>CW</b>	5,845,281	12/01/98	Benson et al.	707	9	
	<b>CX</b>	5,883,955	03/16/99	Ronning	380	4	
<b>FOREIGN PATENT DOCUMENTS</b>							
<b>Examiner Initial</b>		<b>Document No.</b>	<b>Date</b>	<b>Country</b>	<b>Translation</b> <b>YES NO</b>		
	<b>CY</b>	WO 98/10381	3/12/98	PCT	X		
	<b>CZ</b>	WO 98/21679	05/22/98	PCT	X		
	<b>DA</b>	WO 98/24037	06/04/98	PCT	X		
	<b>DB</b>	WO 98/37481	08/27/98	PCT	X		
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U. S. PATENT DOCUMENTS									
Examiner Initial		Document No.	Date	Name	Class	Subclass			
	<b>DC</b>	09/526,290	03/15/00	Peinado, et al.					
	<b>DD</b>	09/525,509	03/15/00	Peinado, et al.					
FOREIGN PATENT DOCUMENTS									
Examiner Initial		Document No.	Date	Country	Translation YES NO				
	<b>DE</b>	WO 98/33106 A	07/30/98	PCT					
	<b>DF</b>	0 679 978 A	11/02/95	EPO					
	<b>DG</b>	0 735 719 A	10/02/06	EPO					
	<b>DH</b>	0 387 599 A	09/19/90	EPO					
	<b>DI</b>	WO 98/02793	01/22/98	PCT					
	<b>DJ</b>	0 778 512 A2	06/11/97	EPO					
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